

fw/AF 3623

HSX/001 CIP2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Timothy M. Keiser et al.  
Application No.: 09/382,907 Confirmation No.: 5840  
Filed : August 25, 1999  
For : COMPUTER-IMPLEMENTED SECURITIES TRADING  
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION  
Group Art Unit : 3623  
Examiner : Clement B. Graham

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

New York, New York 10020  
February 24, 2005

FIFTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the following U.S. patent application of record in the above-identified patent application:

Liddy et al.	U.S. Patent 6,026,388 (February 15, 2000)
Lupien et al.	U.S. Patent 6,012,046 (January 4, 2000)
Garman	U.S. Patent 5,819,237 (October 6, 1998)
Kohorn	U.S. Patent 5,508,731 (April 16, 1996)


The aforementioned patents are listed on the accompanying Form PTO/SB/08 (submitted in duplicate) and copies of these patents are enclosed herewith.

It is respectfully requested that these patents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of Form PTO/SB/08, as considered and initialed by the Examiner, be returned with the next communication.

This Statement is being submitted after the mailing of a First Office Action on the merits. Accordingly, applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure in accordance with 37 C.F.R. §1.97(c)(2). The Director is hereby authorized to charge payment of any additional fees required or to credit any overpayment of same in connection with this Fifth Supplemental Information Disclosure Statement.

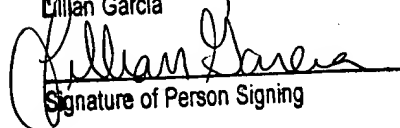
A duplicate copy of this Fifth Supplemental Information Disclosure Statement is enclosed herewith.

Respectfully submitted,

  
Jared Kneitel  
Registration No. 51,178  
Agent for Applicants

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**FIFTH SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTS**

(Use as many sheets as necessary)

Sheet 1 of 1

Application Number	09/382,907
Confirmation Number	5840
Filing Date	August 25, 1999
First Named Inventor	Timothy M. Keiser
Art Unit	3623
Examiner Name	Clement B. Graham
Attorney Docket Number	HSX/001 CIP. 2

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
.		6,026,388	02/15/00	Liddy et al.	
		6,012,046	01/04/00	Lupien et al.	
?		5,819,237	10/06/98	Garman	
		5,508,731	04/16/96	Kohorn	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>		

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Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicants. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicants are to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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